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4   Performance standards &
       appraisal

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EXALTED

Performance **St**andards **&** **A**ppraisal

**Professional
Development
Center**

State Personnel Division • Montana Department of Administration
130 Mitchell Building • Helena, MT 59620

Performance Appraisal Overview

- perspective on performance
- what is performance appraisal?
- the performance appraisal focus
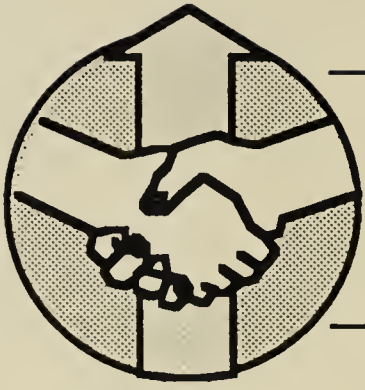- the performance appraisal cycle
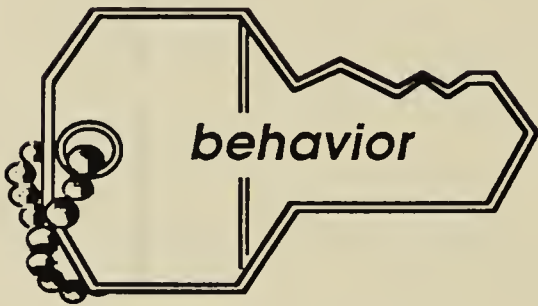
Unit One

APTITUDE TESTING

TURN IN
TESTS
HERE →

I FILLED OUT THE
WRONG SIDE.
I HOPE THAT DOESN'T
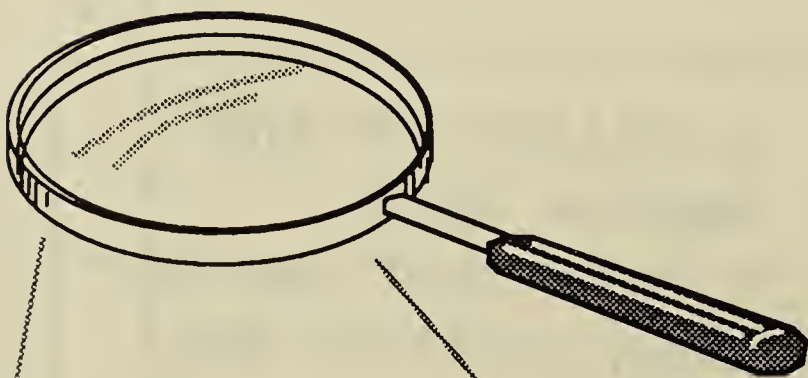COUNT AGAINST ME.

© 1988 by NEA Inc THAVES 3-24

Performance is Behavior

behavior — the _observable_ and _measurable_ actions a person does

In what way do we often consider these behaviors?

focus on performance, not personality

Performance is behavior. When we keep the focus on behavior, we are working with something that can be observed and measured objectively. And we can work with employees to identify, control, and change behaviors.

Personality is an entirely different matter. We are not psychologists; we cannot measure, control, or change someone's personality. Moreover, that person will resent and resist any attempts to do so. So keep the focus on performance.

Signals

What sets the occasion for the employee to do the job? Consider …
- instructions and directions
- tools and resources
- physical work environment
- social work environment

Does the performer know …
- what action is desired?
- when it is required?
- criteria for success?

Feedback (Evaluation)

Does the performer receive adequate information about performance? Is it …
- relevant?
- accurate?
- objective?
- frequent?
- specific?

Consequences

What are the natural consequences of performance? Do they support good performance or discourage it?

What are the consequences for the work unit? Does performance further the unit's goals or hinder them?

Response (Performance)

Is the response correct and appropriate? Does it adhere to directions and instructions?

How is the response measured? What is the criterion for acceptable performance? How can the performer or supervisor determine if performance is superior or inferior?

Performer

Does the performer have the necessary skill and knowledge to do the job?

Does the performer know …
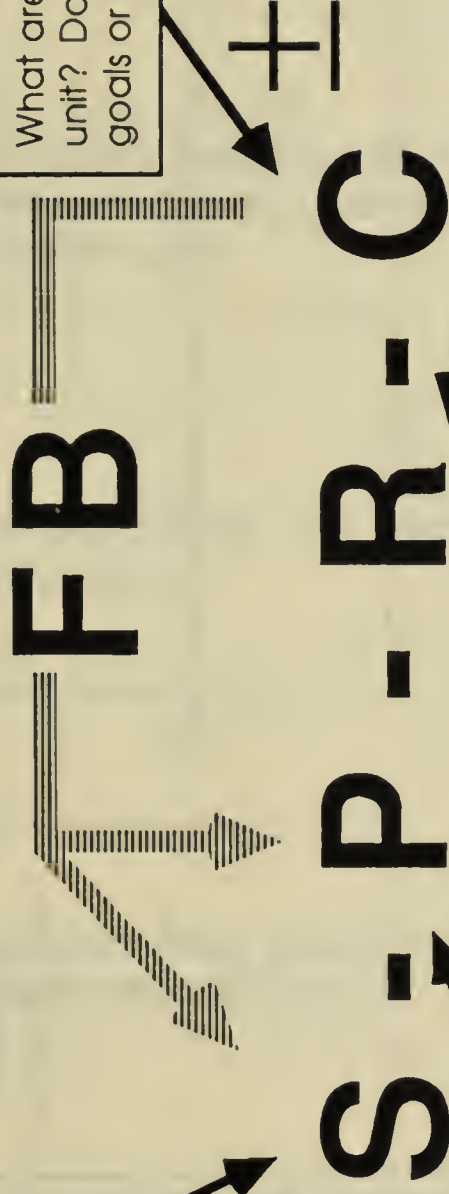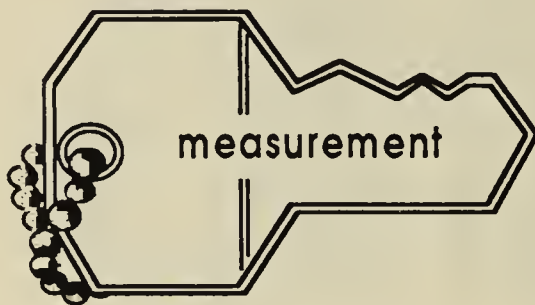- why to perform?
- how to perform?

Are there personal problems (physical or emotional) that interfere with performance?

$$S - P - R - C$$

FB

±

keys to performance

goals/standards

Simple and well defined?

measurement

Do you know if progress is occuring?
Can employees discriminate between productive and
nonproductive behavior? Are your measures *reliable;*
i.e., objective and factual?

feedback
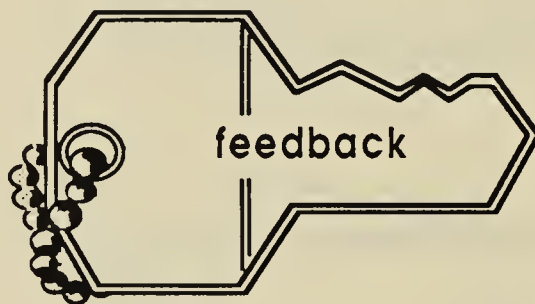
Does the employee receive adequate information
about performance?

consequences
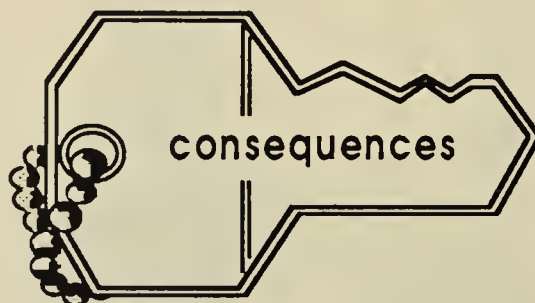
Is effective performance recognized and rewarded?
Is deficit performance ignored or punished?

Performance and Productivity

- performance is human work behavior

- productive performance is *efficient* and *effective* work behavior

efficient: _____
_____

effective: _____
_____
_____

Situation / Signal

Performer

feedback from management

what information? how often? how soon?

desired performance

undesired performance

consequences to performer

+   immediate   —   delayed

consequences to organization

+   —

consequences to performer

+   immediate   —   delayed

consequences to organization
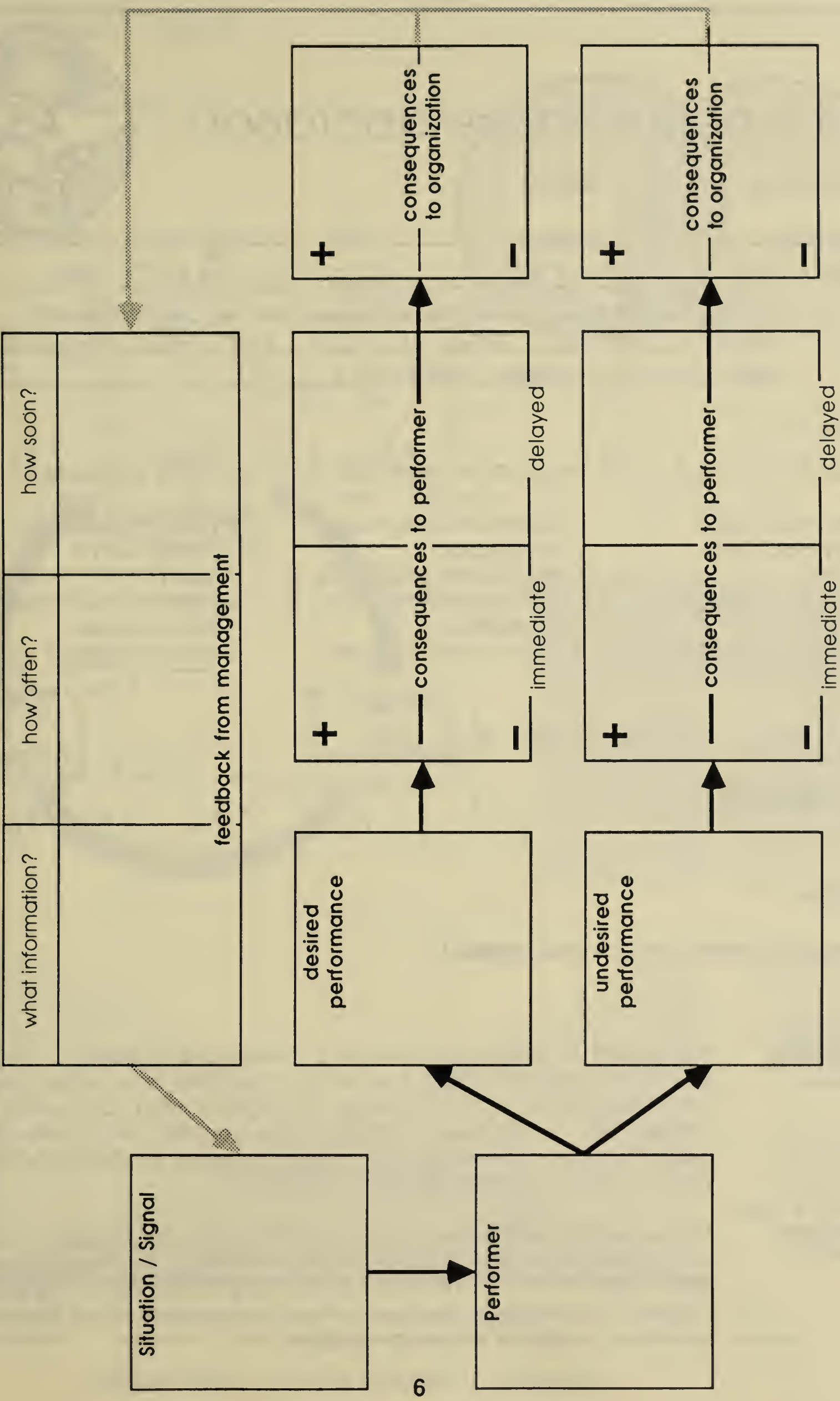
+   —

6

what is performance appraisal?

Definition: *a system by which a supervisor communicates and evaluates the work of the employee in his or her charge*

Variables:

systematic

- reliable methods
- employees well informed
- information is written and filed
- information is current

productive methods

- communication and feedback
- employee participation in planning and evaluation
- day-to-day process

what is evaluated?

- performance or personality?
- valid?
- determined through job analysis
- avoid <u>abstract traits</u> *like 'loyalty'*

Performance Appraisal and the Law ↑

Growth of litigation *very important that employees participate in the planning*

Conclusions

inappropriate use/adverse impact

reliability   the extent to which performance ratings are *consistent* regardless of the person doing the rating, the time, the place, and so on. Reliability is a measure of agreement between two "observers" of an event, such as the quantity or quality of job performance. Devising <u>objective measures</u> of performance is the principle means of ensuring reliability.

validity   the extent to which performance ratings are *job-related*. Validity is a measure of the "match" between the job an employee is expected to do and the areas that are rated on an appraisal. Conducting a <u>job analysis</u> to arrive at a performance plan is the principle means of ensuring validity.
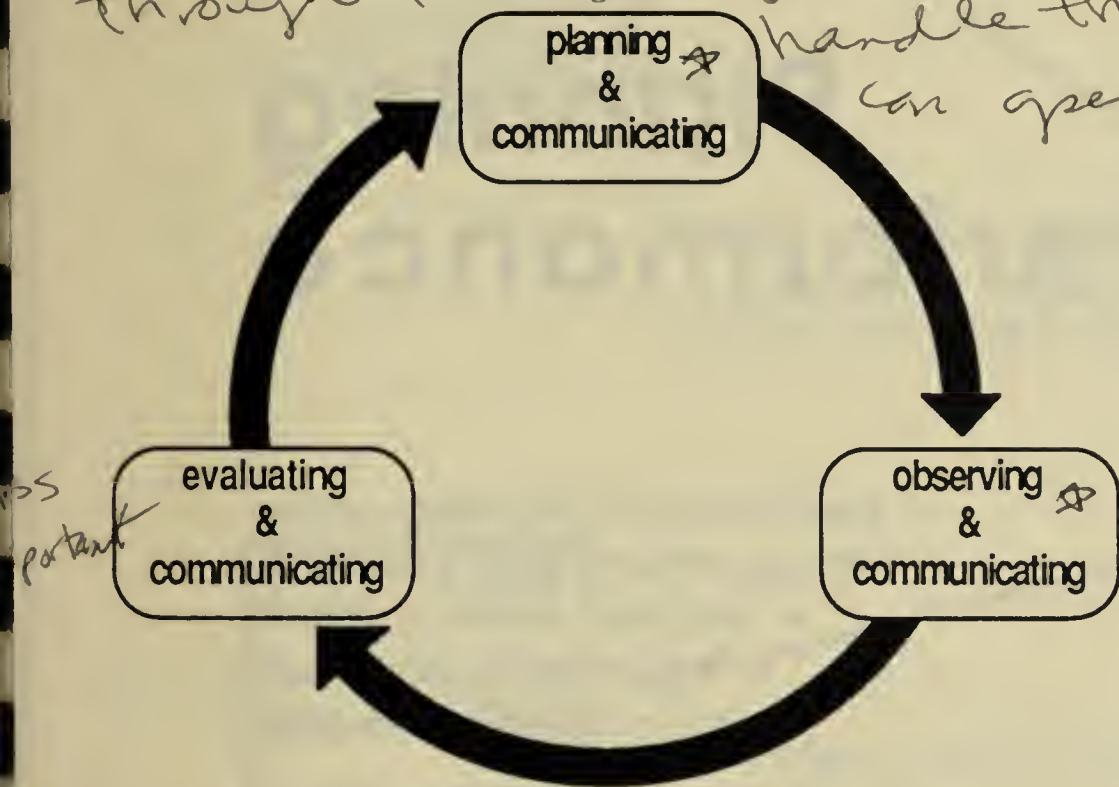
performance:

conduct: · expected of all
use sick leave correctly
use discipline system
lateness.
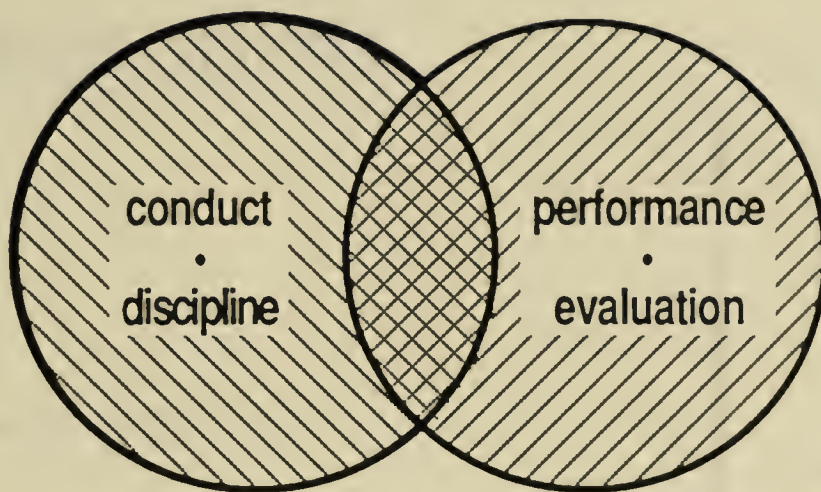
what do you do when conduct standards are inconsistent
through the agency? Important for mangent to
handle this - inconsistent discipline
can open to lawsuits

The Appraisal Cycle

conduct
·
discipline

performance
·
evaluation

planning
&
communicating

evaluating
&
communicating

observing
&
communicating

Performance appraisal is
more than an annual paper
shuffle; it is a constant, ongoing
process.

It requires, above all,
continual communication and
gathering of information
about performance.

DIFFICULTY
& DISCOMFORT
with appraisal
interviews

EASE & COMFORT
with appraisal
interviews

LEVEL OF ...

once a year   occasionally, in   meet with employee   whenever it's
at evaluation   response to big events   every couple months   merited or needed

FREQUENCY OF PERFORMANCE FEEDBACK

8
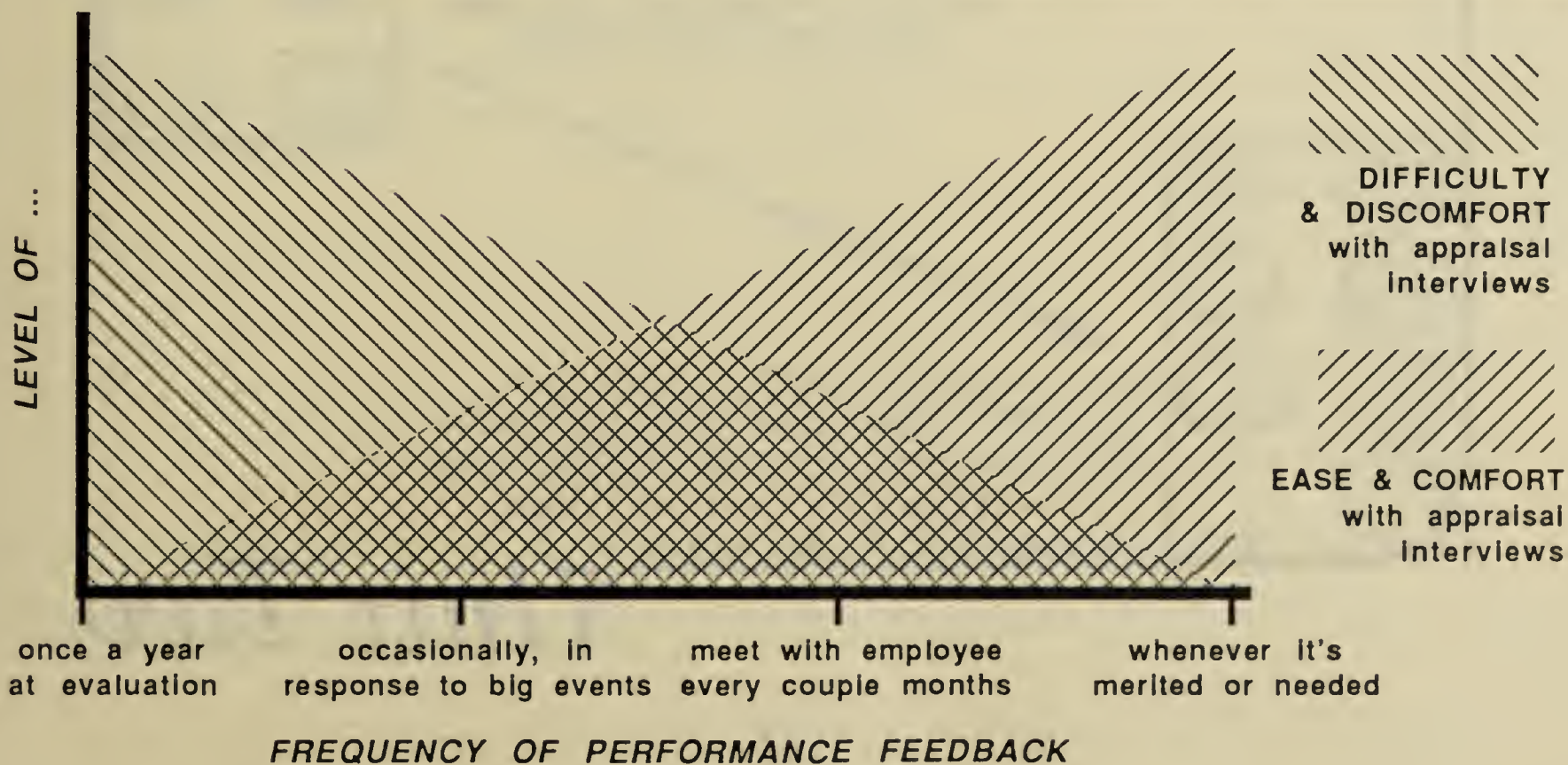
Planning
Performance
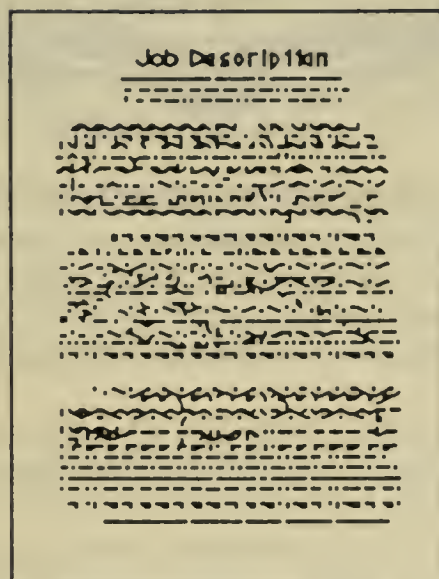
- performance planning primer
- writing performance standards
- employee involvement
- job analysis workbook
- job analysis references

Unit Two

Genealogy of
Performance Standards

Job Description

...and there were positions,

and the positions were made
of duties or responsibilities
(usually four to eight in a position)

Job Desc   ription
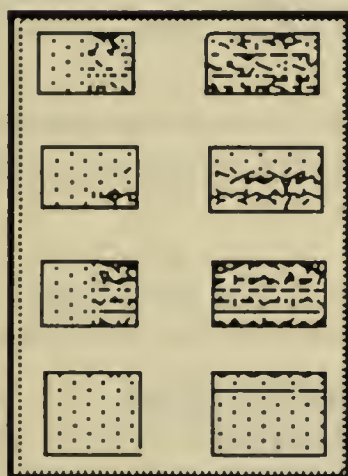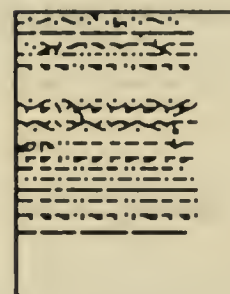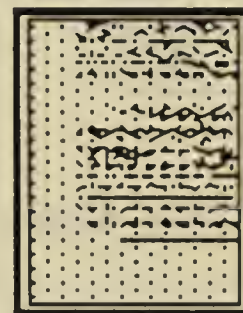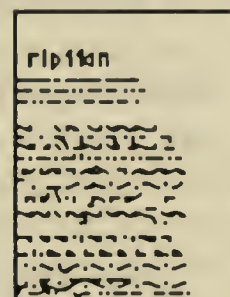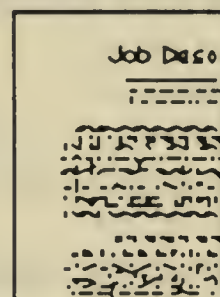
and duties or responsibilities
were composed of activities
(somewhere between two and two
hundred activities per duty)
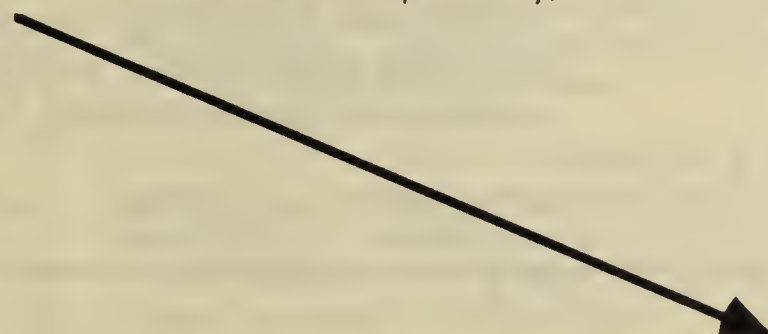
and some of these activities were
important and measurable indicators
of a person's work performance, and
could be used to develop written
standards of performance
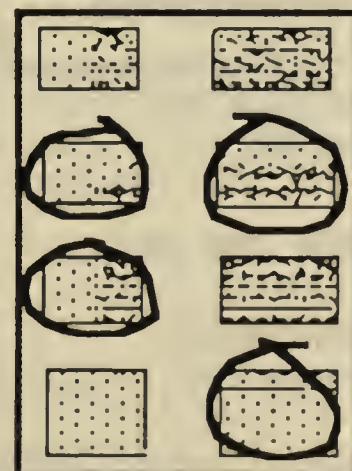
The performance appraisal process begins with sound planning. Planning lays the foundation for a valid, reliable appraisal.

performance planning primer

In this section, we will briefly discuss some of the factors that go into designing performance standards.

Goals of Performance Planning

1. **analyze the job**

   - function of the job in the work unit

   - component duties and activities

   - measurable factors of the work

2. **design functional, objective standards of performance**

standards

objective measures of performance that are reasonable indicators of successful performance, in terms of ...

- quality   • quantity   • timeliness   • cost

Standards are *not* ...

permanent

perfect

begins with a verb, then describes. action, then adds a measure

job analysis vs. task analysis

Task analysis defines **how** a task is done. It starts with a general statement of the duty. (When used appropriately, task analysis begins with a specific statement of the desired result in objective terms.) Then the steps — or activities — that lead to the completion of that duty are stated. An example is given below.

Task analysis has specific, beneficial uses: it is an excellent aid to training, in that it helps chart the path for the teacher and learner to follow together. In the job setting, this can help orient and train a new employee to the job.

Likewise, task analysis can be useful when the supervisor and employee are addressing a problem and how to solve it. It lays out the steps that will lead to a solution. However, task analysis has little, if any, role in the performance planning process. It hinders the process in the following ways:

1. It presumes to tell the employee how to do the job. That is generally not important — results are.

2. It begins with a statement of results, and induces the process to reach those results. This is backward from the deductive planning process you want.

3. It "clutters up" the planning process with unnecessary detail about methods of work. You stand the danger of losing sight of the forest for the trees.

4. A plan that relies on task analysis presents difficulty to both the supervisor and employee when it comes time to evaluate, for it more likely looks at methods than results.

---

2 eggs

1 c. sugar

1 1/2 c. oil

3 c. flour

1 1/2 t. baking soda

1 t. cinnamon

1/2 t. nutmeg

1/4 c. chopped walnuts

Pre-heat oven to 350°. Beat eggs. Mix in sugar and oil. Add flour gradually, beating until batter is smooth. Stir in remaining ingredients. Spread evenly in greased and floured 9 X 13 baking pan. Bake for 40 min or until cake pulls away from pan at sides. Remove from pan to cool. Frost (see recipe, p. 125)

Position: Catering cook

Duty: Prepares food.

Activity: Bakes a simple pan cake.

Standard: Bakes a simple pan cake, according to recipe, so that cake is ready to serve at least 30 min. before scheduled beginning of meal.

Job analysis provides a specifc description of **what** is to be done. It begins with a broad statement of the function of the position.

Through deduction, and the use of the tools we have discussed, the analysis proceeds to determine the duties of the job — areas of responsi-bility. It then determines the specific activities that lead to the fulfillment of those duties.

The supervisor and the employee judge which activities are most critical to the fulfillment of the duty. In the final step, they design a *measure* that can be used to gauge success in the performance of that activity. Combining the activity statement with this measure forms a *performance standard*.

The advantages of job analysis include ...

1. its focus on *results*, rather than procedures.

2. its relative economy and ease, compared to task analysis.

3. its clear statement of objective criteria, against which performance will be evaluated.

4. its continual focus on the overall purpose of the job — and how the job fits into the unit's goals and the agency's mission.

Writing performance standards

After completing the job analysis, look for verifiable **performance indicators** that will lead to **measurable results**. The final step is to apply these measures to those activities they deem important. Each measure, combined with its activity statement, forms a **performance standard**.

Considerations for performance standards

- is this a verifiable activity?

- what are the conditions?

- is this activity important? (consider "20 / 80 Rule")

- can I formulate an objective measure of *acceptable* performance?

Format of Performance Standard

- begin with "action verb" (see list in Performance Standards Workbook)

- specify a single, verifiable result   (hint on selecting measures)

- specify *what* or *when*, avoid *how* or *why*

Write relevant learning objectives for designated courses; at least 9 of every 10 objectives reviewed to be clear, specific descriptions of behavioral performance.

Design, revise, and edit camera-ready masters for participant manuals for assigned courses, at a quality equal to or above competitive in-state training programs.

Deliver assigned courses to a degree of proficiency that 90% of participants rate the course "good" or "excellent."

As required, assist consultants in preparing for their training sessions so that no more than two valid, unresolved complaints are received during the appraisal period.

13

Whose Job Is It, Anyway?

The importance of employee involvement

- people tend more to do what is important for *them,* not the employer

- standards should be as beneficial to the employee as to the agency

- employee security and job satisfaction stem largely from *participation*

- employee commitment to the process — and to the job

The role of the supervisor

- staff development — perhaps the most important role

- responsibility to the mission vs. responsibility to the employee
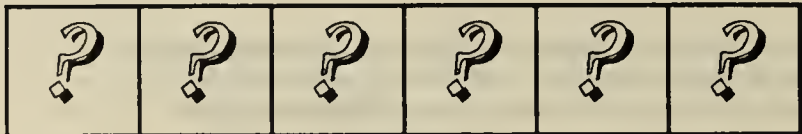
- the fine art of negotiation

standards

Standards are written for the position, not the person.

Read through the following six "performance standards." For each example, check *YES* or *NO*, depending on whether you think it's a good performance standard. For those that you check *NO*, note why you find it unacceptable.

STANDARD	YES	NO	IF NOT, WHY NOT?
1. Writes program specifications with no technical or writing errors in at least 9 of every 10 specifications reviewed.	✓		
2. Considers all consequences of program recommendations before drafting final report.		✓	*too vague no measure*
3. Maintains assigned equipment (vehicle and tools) in clean and <u>acceptable</u>? operating condition.		✓	*no measure*
4. Records date, case number, request, and disposition for each transaction; criteria 100% on all transactions reviewed.			*depends on what you're working with*
5. Provides requested training to private, nonprofit corporations that contract with the agency. *all?*		✓	*(activity step) no measure.*
6. Processes applications in accordance with BFD standards such that at least 8 of every 10 applications are completed within three working days of receipt.	✓		

1

Ruth Reagan is the Secretary with the Region III Office of the Parks and Recreation Program, Community Relations Division, Montana Department of the Interior.

One of Ruth's duties involves *typing*.   Specifically, the duty reads ...

Types letters, reports, and other materials from written drafts and edited proofs.

Write one standard for this duty. You may base the standard on **one** of four aspects of performance — quantity, quality, timeliness, or cost.

2

Ellen Eager is a Recreation Specialist with the Region III Office of the Parks and Recreation Program, Community Relations Division, Montana Department of the Interior.

One of Ellen's duties involves *planning*.   Specifically, the duty reads ...

Develops and proposes to assigned community agencies detailed plans for local recreation activities.

Write one standard for this duty. You may base the standard on **one** of four aspects of performance — quantity, quality, timeliness, or cost.

Performance Standards Workbook

part one: an explanation

This section is designed to assist you and your staff in preparing performance appraisal standards. The workbook consists of two worksheets: the **job analysis** worksheet and the **performance standards** worksheet. The first will help you identify the key job areas where performance standards are needed. Also, it will give you a documented record of how your appraisal is job-related. The performance standards worksheet will help you to write measurable, behavioral, and observable standards for the critical areas of the job.

Duties and Responsibilities — Section 1

The first section (see facing page) asks you to identify the major responsibilities and/or duties of the position.

Most jobs can be divided into a few major categories or classes. Each category includes a number of responsibilities which go together because they produce similar results, use similar procedures, or require similar knowledge.

For example, a secretary may have three major responsibilities:

◊ *receiving visitors*
◊ *typing*
◊ *filing reports*

Each of the secretary's responsibilities (duties) represent a major category of the job and include a number of more specific activities or steps.

Once you have a rough idea of the categories of the job you are analyzing, enter them in the first column in the work sheet (see worksheet section).

Next, determine which category is the most critical to the job and enter a "1" next to it in the priority column. Enter a "2" after the second most important, and so on.

The facing page contains a copy of the column and more examples for your information.

1

Major Duties / Responsibilities

> **Four to eight major job categories described in as few words as possible**

e.g.,

- Supervises data entry unit

- Inspects abandoned mining sites

- Grades roads

- Manages fiscal resources

- Enforces traffic laws

- Advises division on legal aspects of proposed rules

- Types

- Feeds fish

- Enforces child support judgements

- Maintains facility and grounds

- Administers division

- Writes grants

Activities, Behaviors, Steps — Section 2

An activity is a specific, identifiable unit of work performed by an individual. It has a definite beginning and end. Usually, there are a number of activities, steps, or behaviors that go into completing a responsibility or duty.

For example, the duty "receiving visitors," from the last section, might include the following activities:

◊ answers telephone
◊ records name/phone number
◊ routes calls
◊ greets visitors
◊ sorts incomming mail
◊ answers routine questions
◊ logs location of staff
◊ and so on ...

Similar lists of activities should be identified for each of the major duties you list in column 1. List the activities in the second column of worksheet next to the related duty or responsibility.

If they are critical to successful performance, include "soft" activities such as "public relations," training, relationships with co-workers, communications, and so on.

Guidelines for writing activities

Ask yourself, "What is this person doing when she is doing this duty?"

◊ If they are guarding, what are they doing when they are guarding?
◊ If they are feeding fish in a fish hatchery, what are they doing when they are feeding?

Ask yourself, "Is this one activity, or does it represent more?" Specify a single result.

◊ "develops and implements a system of filing reports" is not a single result, "Files reports" is.

Begin each activity statement with an action word describing the performance.

A list of "ACTION WORDS" is included in the reference section of this manual.

Next describe to whom or what it is done.

Mows *capitol complex lawns.*
Guards *inmates in units A & B.*
Eats *twinkies under a full moon.*
Investigates *consumer complaints.*

2

Activities, Behaviors, Tasks

> **Specific activities, behaviors, tasks,or steps needed to complete each duty or responsibility**

e.g.,

The duty "Manages fiscal resources" may include some of the following activities:

- Prepares bureau budget
- Prepares and submits grants
- Ensures programs do not exceed budget
- Meets grant conditions
- Writes agreements for contractors

The duty "Enforces Child Support" may include some of the following activities:

- Locates absent parent's residence, employer, and/or assests
- Issues notices of support liability
- Prepares notices of intent to withhold income
- Serves warrants for distraint
- Issues orders of withholding to employers

Performance Standards Worksheet

Activity statements describe what is done by an employee. They do not communicate how well it should be done. This next part will assist you in writing statements which help describe the performance difference between good performers and those whose work is problematic or unsatisfactory.

Performance Indicators — Section 3

Performance indicators are simply elements or factors which are, or can be, evidence of effective performance. This exercise is designed to help you identify those activities which are important and verifiable. In other words, those components of the job that are essential to good performance and that you can describe in objective terms.

In performance appraisal, we need to identify specific job indicators that help us discriminate between a good performer and one whose work is troubled or unsatisfactory. These indicators help us focus on specific job problems or behaviors, and aids us in evaluating performance rather than the person.

For this next phase in the exercise, select those activities which are

Important and
Verifiable

and write brief statement in column three explaining what you would like to measure or verify.

(See next page for example)

Important means it is a critical or essential area of the job that occurs with enough frequency to make it worth evaluating.

Verifiable means we should be able to tell, at a reasonable level of objectivity, whether or not the activity happened. Preferably, this means the performance can be measured on some sort of scale.

See *"Measurable Factors"* in the Reference section for a list of suggested factors.

For example, several indicators can be identified for the activity "opens and sorts mail."

◊ How soon is the mail opened? (timeliness)
◊ Sorted to right box? (accuracy)
◊ Time spent sorting (cost)
◊ Confidential mail remains unopened (quality)

3

Performance Indicators

	? I/V

How can you tell if the activities are done in an acceptable way?

e.g., "manages fiscal resources"

- Were grants submitted on time? Were they adequately prepared? √

- Did program exceed the budget in any month? Was it corrected? √

- Were grants returned due to errors? √

Is the indicator important and verifiable? Then check here.

e.g., "enforces child support"

- How many parents located within a time period? √

- How many notices are served? √

- Are warrants served in a timely manner? √

In the last section, you identified performance indicators that point to critical and measurable job areas. In this section you will add specific criteria to your "indicators" that will help you define how well a task must be done. The object of this section is to establish the exact performance "standard" for each indicator so the performer will understand what he or she must do in order to achieve acceptable performance.

Performance standards include specific information about the number of errors, the specific amount of turnaround time, the exact results necessary, and so on. They are measures of work quality, quantity, cost, or timeliness. (see **"Measurable Factors"** in the reference section)

For example, the indicator from the last section, "time required to open and sort mail," may be written:

Incoming mail is opened and sorted within two hours of receipt on 9 out of 10 working days.

as a performance standard. For the indicator "mail is sorted accurately," the performance standard might be...

No more than two items of mail per week are routed to the wrong address.

For this exercise, add to each of your indicators a statement defining the exact level of acceptable performance. If you cannot define a level or a criterion, consider excluding that indicator from your list.

Write the standards so they ...

√ are measurable and observable
√ are realistic in terms of the job
√ are within the person's control
√ are expressed in terms of a single result
√ are measures of performance, not conduct or personality

A standard expresses a measure of one of these aspects:

√ *quality of work*
√ *quantity of work*
√ *timeliness of work*
√ *cost of work*

Format

There are three parts to a well formulated standard:

Performance   A standard always states what a person is expected to do.

Conditions   A standard describes the conditions (if necessary) under which a performance is to occur

Criterion   A standard describes how well a person must perform to be considered acceptable.

4

Performance Standards / Objectives

> **Add specific measures of quality, timeliness, cost effectiveness, quantity, observable behaviors, etc.**

e.g.

- Grants are approved and submitted five working days prior to Federal deadlines.

- Difference between SBAS "Percent Elapsed Time" and "percent completed" does not exceed 5% in any month without prior approval.

- Locates an average of six absent parents' residence, employer, assests per month.

- Serves an average of six notices of support liability per month

- Warrants of Distraint are served within five working of judgement.

Format Example:

Performance —— Schedules and approves non-emergency sick leave

Conditions —— (implied)

Criterion —— so unit does not average more than 1% overtime during per pay period in any quarter.

This last section is designed to help you integrate this performance system with the day-to-day realities of the work. It asks you to define how you will monitor and evaluate the standards.

Monitoring can be ongoing or periodic, and take a number of forms:

◊ review of work products
◊ observation of work in progress
◊ review of reports, charts, or logs
◊ progress reports
◊ client/user evaluations
◊ audits, inspections, work samples

and so on ...

Try to be as specific as possible in identifying how you will observe and measure each performance standard you have listed. If you cannot determine a good way to monitor the performance, consider excluding the standard from your list.

Do not, however, develop elaborate monitoring systems or requirements for yourself. They are doomed to failure. Monitoring should be a normal part of your workday.

> **The cost of monitoring must not exceed the value of the information.**

5

How Will I Observe?

> **Specifically, how will you observe, monitor, or evaluate performance?**

e.g. "fiscal management"

• Number of grants returned due to lateness
• SBAS report

e.g.   "child support enforcement"

• review completed case files each month.
• review each investigator's log book every month
• Dates warrants issued vs. dates warrants mailed/ received.

Performance Standards Workbook

part two: worksheets

Job Analysis Worksheet

1 ___ Duties / Responsibilities / Objectives ___

Supervises data entry operators

Priority

2 ___ Activities, Behaviors, Tasks ...

1. Prepares and updates position descriptions

2. Holds planning/staff meetings

3. Writes performance standards

4. Conducts quarterly reviews

5. Provides feedback to employee

6. Keeps notes on observations and communications with employee

7. Completes annual appraisal and conducts appraisal meeting

sample

data entry supervisor

Performance Standards Worksheet

3 Performance Indicators	? I/V 4	Performance Standards / Objectives	5 How Will I Observe?
Are position descriptions complete? How recently?		1. All operators have complete position descriptions and performance standards within 2 months of hiring date.	1. Review of personnel files on a quarterly basis for completed forms.
How often are reviews conducted? How often does supervisor meet with individual operators?		2. Appraisals are completed at least once each year with quarterly review meetings (no more than 2 appraisals or meetings are overdue each quarter).	2. Semi-annual meetings with 4 or 5 operators. Review supervisor's notes
Are attendance records up to date?		3. Attendance records are updated daily for at least 8 out of 10 days.	3. Monthly review of attendance records.
Are appraisals completed in compliance with state procedures?		4. No more than one appraisal a year should require correction or reviewer comments because of procedural errors.	4. Reviewer signature of all completed forms.
Are performance standards specific and measurable? Are supervisor notes kept on communications to employees?		5. 75% of performance standards are specific and observable so that they are not returned for correction by reviewer.	5. Review of standards for each appraisal prior to beginning of period.

sample

data entry supervisor

29

Job Analysis Worksheet

1 Duties / Responsibilities / Objectives

2 Activities, Behaviors, Tasks ...

Priority

30

Performance Standards Worksheet

3 Performance Indicators	? I/V	4 Performance Standards / Objectives	5 How Will I Observe?

Job Analysis Worksheet

1 ___ Duties / Responsibilities / Objectives ___

2 ___ Activities, Behaviors, Tasks ... ___

Priority

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Performance Standards Worksheet

3 Performance Indicators	? I/V	4 Performance Standards / Objectives	5 How Will I Observe?

33

Notes: _____

today's assignment:
achieving excellence
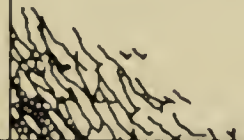
I don't understand
John, the teacher
said I did "A" work
but he gave me a
"B" so I "would have
something to work
for next quarter."

Performance Standards Workbook

part three:
references

Common Methods and Sources for Job Analysis

METHOD	SOURCE	COMMENT
job specifications	central personnel	limited use
job description	unit	rare
position description	personnel office	good, but dated
personal knowledge	supervisor	bias
desk audit	supervisor	need interviewing skills
direct observation	supervisor	boring
activity logs	staff	staff will hate you
group interviews	staff	hard to control
questionnaires	supervisor	hard to write
personal knowledge	staff	good, but bias

There is no "one good way" for analyzing a position. All the above methods have their merits, but also their limitations. When analyzing a job, try to use all the information available to you, plus a clear focus on the realities of the job. Never forget to include the employee's input. No one know the job better than the person who does it.

Measurable Factors

There are thousands of factors used to measure performance. You will have to make your own determination as to which ones will best suit your purposes. Here are some frequently used measurable factors that could be related to some of your operations:

number of people served	requests for services
agencies/companies served	degrees of acceptance
new clients/customers/users	cost reductions
service complaints	accuracy/neatness
unit costs	units produced
new services provided	errors/rejects
number of clients	setup time
turnover rate	turnaround time
percent of savings	maintenance costs
work hours	down time
percent of overtime	ideas generated
calendar time	feedback from clients/users
scheduled milestones	feedback from public
lost-time accidents	percent of savings
number of incidents	problems/opportunities
absenteeism	output per individual
number of grievances	scheduled maintenance

Note some of these examples, such as degree of acceptance, ideas generated, problems, opportunities, etc., are quite subjective, whereas others imply varying degrees of objectivity/subjectivity. When measuring human performance one must tolerate a certain amount of subjectivity. As long as a standard serves as a measure of successful performance and does not illegally discriminate, it is probably a legitimate measure. You must decide which factors will be the best indicators of successful performance toward the achievement of your unit's objectives.

❏ Standards must relate to specific *job-related* **skills or activities**

❏ Standards must **not discriminate** on the basis of race, sex, ethnic origin, marital status, age, religion, or handicap.

   *However, the law does require us to make **reasonable accommodations** for any member of a disadvantaged group. There is no universal definition of reasonable accommodation, but in general it is a logical adjustment made to the job or the work environment which enables a qualified disadvantaged person to perform the essential duties of the position. If you use your performance standards as the basis of selection and hiring, please be sure to consult with your personnel director regarding reasonable accommodations for disadvantaged applicants.*

❏ Standards must be **fair**. The employee must have access to counseling, training, re-examination, and appeal. Management is responsible to help the employee meet the standards through counseling, training, evaluation, and corrective feedback

❏ **Where employee unions are in operation**, the standards may cause a concern to union officials. It is management's right to set work standards, but the process is usually done with some prior discussion with union leaders. If your employees are covered by a labor agreement, clear your plans first with upper management and personnel before you attempt to implement any new work standards. Their advice may be critical in this process.

❏ Standards should be **realistic and achievable**. If they are not within reach of the employee, even with some stretch, then the standard or the employee should be replaced.

❏ They should be set at an **acceptable level**. What the average or satisfactory employee can perform. Neither greater nor lesser.

❏ Standards should be **observable**. If you cannot see the results or product, it probably is not worth the bother of writing it.

❏ Standards should be **subject to change**. Very few jobs remain constant. New materials, conditions, equipment, methods, even the experience factor may require adjusting the standard up or down to fit the new situation.

❏ Standards are **communicated in writing and face-to-face discussions** between the supervisor and the employee.

❏ Standards should be **agreed upon** by both the supervisor and the employee without undue coercion.

Writing Standards:

action
words

When writing about performance, we use specific verbs to describe the expected behavior. Some managers use words that have many interpretations, and thus it is difficult (if not impossible) to determine whether or not the performance measured up to expectations. For example, the following words or phrases are open to many interpretations:

know   *appreciate*
understand   *professional*
grasp the significance of   *cooperate*
internalize   *develop*
believe   *polite*

Your communication will be more exact, and your standards will be easier to measure, if you use simple verbs which are open to fewer interpretations. The following list is offered as an aid in describing human performance

abbreviate	bland	collect	cut
accent	bring	color	
add	brush	combine	dab
alphabetize	build	compare	decrease
alter	buy	compile	deduce
analyze		complete	defend
apply	calculate	compute	define
appraise	calibrate	conclude	derive
arch	call	conduct	describe
arrange	capitalize	connect	design
articulate	carve	consider	designate
ask	categorize	construct	detect
assemble	change	contrast	diagram
attempt	chart	convert	difference
attend	check	copy	differentiate
	choose	correct	discover
begin	circle	count	discriminate
bend	cite	criticize	dissect
bisect	classify	crush	distinguish

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distribute	inform	predict	shorten
divide	insert	prepare	shut
document	integrate	press	sign
dot	interpolate	print	signify
draw	isolate	produce	simplify
drill	itemize	pronounce	sketch
duplicate		propose	smooth
	keep	prove	solve
edit		provide	sort
end	label	pull	speak
erase	lead	punctuate	specify
estimate	lend	push	spell
evaluate	lengthen	put	square
expand	light		stamp
explain	list	question	start
extend	lift	quote	state
extract	limit		stick
extrapolate	locate	raise	stir
	look	read	store
feed		rearrange	straighten
find	make	recall	strike
finish	manipulate	recite	structure
fit	map	reconstruct	subtract
fix	mark	record	summarize
float	match	reduce	supply
fold	measure	regroup	support
follow	melt	relate	switch
form	mend	remove	syllabicate
formulate	miss	rename	synthesize
frame	mix	reorganize	systematize
	modify	reorder	
gather	mold	replace	tabulate
generate	multiply	report	take
get		reproduce	tear
give	nail	reset	tell
graph	name	restate	time
grind	note	restructure	touch
grip	number	retell	trace
group		return	transfer
grow	offer	rewrite	translate
guide	omit	roll	trim
	operate	rub	type
hammer	order		
handle	organize	sand	underline
heat	outline	save	use
hold		saw	
hyphenate	paint	say	varnish
	paraphrase	sculpt	verbalize
identify	paste	search	verify
illustrate	pat	select	vote
imitate	place	send	
include	plan	serve	watch
increase	plant	set	weigh
indent	plot	sew	whisper
indicate	point	shake	wipe
induce	position	share	wrap
infer	pour	sharpen	write

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Observing
Performance

- the appraisal period
- what are we observing?
- methods of observation
- documenting what you see
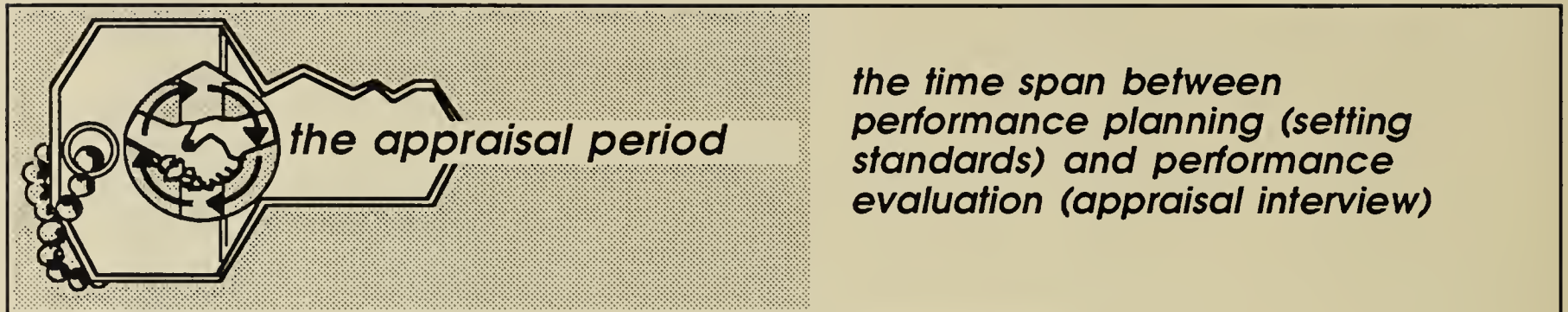- communicating with the employee

Unit Three

CAPSIZE?

6⅞.

THAVES 7-8

What is it?

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the appraisal period	the time span between performance planning (setting standards) and performance evaluation (appraisal interview)
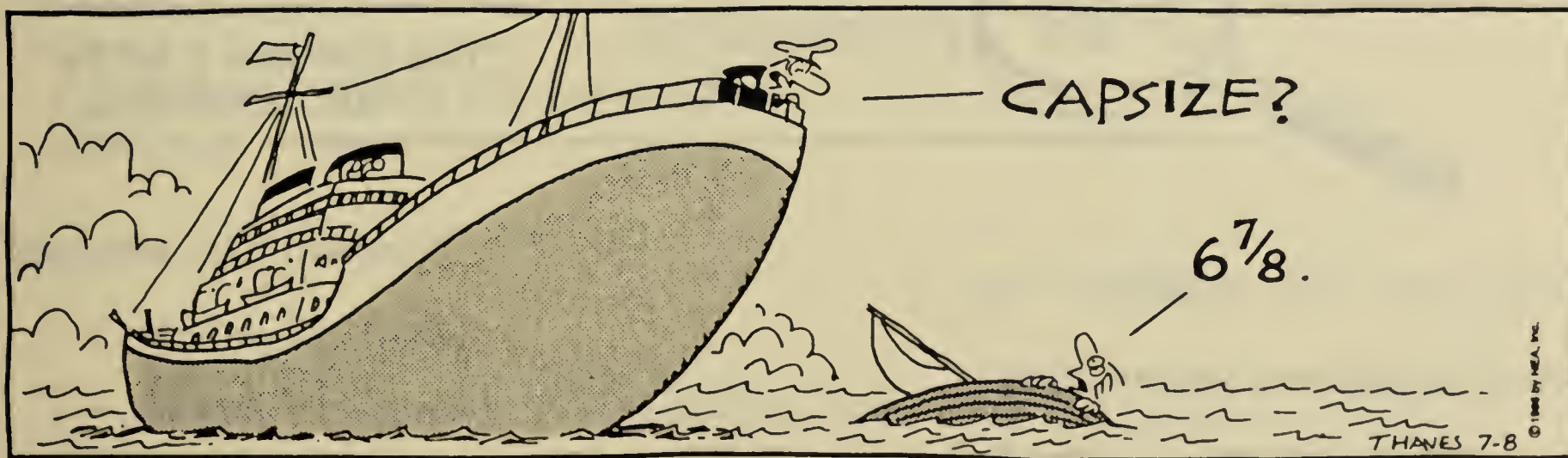
What length?

- probationary: minimum six months; maximum one year

- regular appraisal period — policy requirement: maximum of one year

A period of continuous activity ...

- observation
- communication

Variations and exceptions to the appraisal period

- possibilities

- precautions

Observing Performance

"You can see a lot by just observing."
— *Yogi Berra*

What Are You Looking For?

Actual vs. planned performance

- standards determine the focus

- look for what the standards say to look for

Aspects of observation

- performance vs. conduct

- incidental vs. deliberate observation

- critical vs. noncritical perfomance behaviors

Methods of Observing Performance

A supervisor cannot possibly know about everything employees do. You can't constantly be looking over employees' shoulders — you don't have the time, opportunity, or motivation to do that. Yet you do need to gather information to determine when and what to communicate to the employee.

cost effectiveness
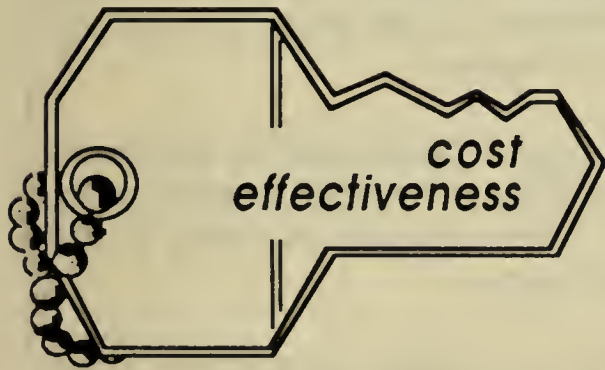
Your observation methods should provide adequate visibility in a timely fashion with the least expenditure of time and effort.

- adequate visibility

- timely fashion

- least expenditure of time and effort *- both yours & theirs.*

Evaluate your methods

- are they too costly?

- do they indicate variance in peformance?

- do they provide enough lead time?

- do they overcontrol?

Specific ways of observing performance

- spot check observations
- review of completed work
- staff meetings and verbal reports
- special activities
- *other methods?*

- written status reports
- critical incidents
- directed conversations
- comments from others

documenting what you observe

We usually consider documentation in connection with disciplinary procedures. In fact, we will discuss that in the *Controlling* section of this course. But documentation is also important in performance evaluation, for a number of reasons:

1. It helps you keep the facts about performance accurate and objective when you discuss them with the employee. This is especially important if the discussion takes place weeks or days after the observation.

2. It provides specific, objective information to support comments that go into the formal, written evaluation.

3. It provides a record of your efforts to help an employee develop or improve performance.

Suggestions for Documentation

- maintain a supervisory journal

- representative cross-section of employee's work

- positive as well as problem areas of performance

- objectivity: focus on performance behaviors

- inform the employee

- document as soon as practical

- additional entries on follow-up & as new facts surface

- keep copies of other "evidence" of performance

supervisor's journal
example page

Employee:	Sally Snead	
Position:	Recreation Specialist	

Date	Subject	Comments
11/2/8-	Two Dot Park plan	Reviewed with SS. Well organized, accurate. Noted problems with county funds — SS will make presentation to county commissioners by 12/15. Presentation outline due for my review by 12/7.
11/17/8-	Public Relations	Discussed with SS a complaint rec'd from Billings Recreation Director (city) stating that SS was "unprepared" and "too much into detail" in discussion of summer recreation plan. Also said SS was "rude." SS agreed to summarize points of each recreation plan before presentation/discussion. SS took issue with rudeness comment, but admitted to being "tense" during meeting. Agreed to make effort to improve. Target: no further complaints by review date 2/29/8-.
12/19/8-	Quarterly Review	(see notes in performance appraisal file) Discussion was productive. SS agreed to take on production of monthly newsletter; activity plan in PA file. No major problems noted.
1/12/8-	Ryegate report	Received phone call this a.m. from Ryegate mayor. Positive comments on SS's report on Ryegate meeting and plan. Mayor thought it was a major step toward better community relations. Relayed information to SS immediately after call.
2/27/8-	Public relations (follow-up)	Review of 11/17 plan — no further complaints noted or rec'd. SS outline actions she has taken to improve discussions and meetings Matter dropped.
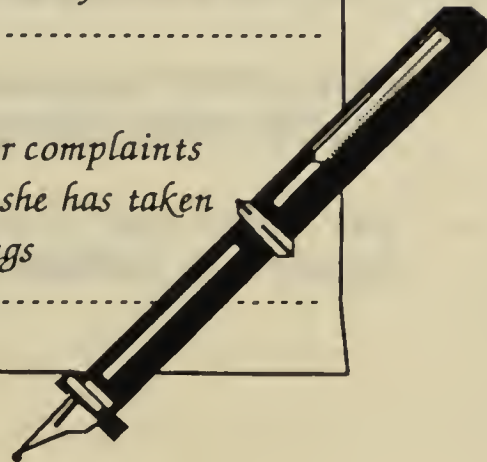
communication
&
feedback
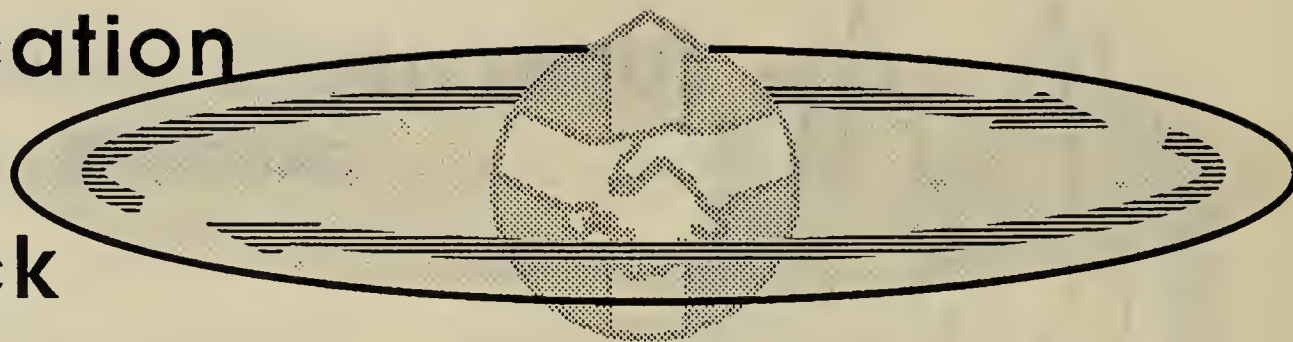
The best observation and documentation are worthless if you do not communicate with the employee. It is not your purpose to compile a secret dossier of information. One of the most effective — and cheapest — ways to increase productivity involves ...

- providing employees with specific feedback about their performance at a high frequency immediately following performance

- reinforcing (praising) employees when the performance is improving or meeting requirements
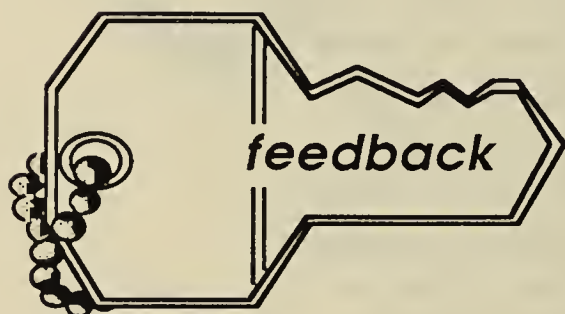
feedback

information about performance communicated to the employee soon after the performance occurs or the information is gathered

What should I talk about?

It's easy to say that supervisors should provide "frequent feedback" to employees, but we often wonder what that feedback should say. Put simply, if you are observing performance frequently, you will have a rich source of feedback. Then the task is to use good communication techniques to provide your feedback to the employee.

But let's consider two possible types of "feedback sessions" ...

- *incidental feedback* — a short discussion of one topic, usually occurring shortly after performance is observed

- *performance review* — a more entailed discussion, covering many aspects of performance over a period of time.

characteristics of good feedback

- immediate vs. delayed
- objective vs. subjective
- attentive vs. domineering
- descriptive vs. evaluative
- specific vs. general

what information?	how often?	how soon?

feedback from management

Situation / Signal

Performer

desired performance

+ consequences to performer −
immediate   delayed

+ consequences to organization −

undesired performance

+ consequences to performer −
immediate   delayed

+ consequences to organization −
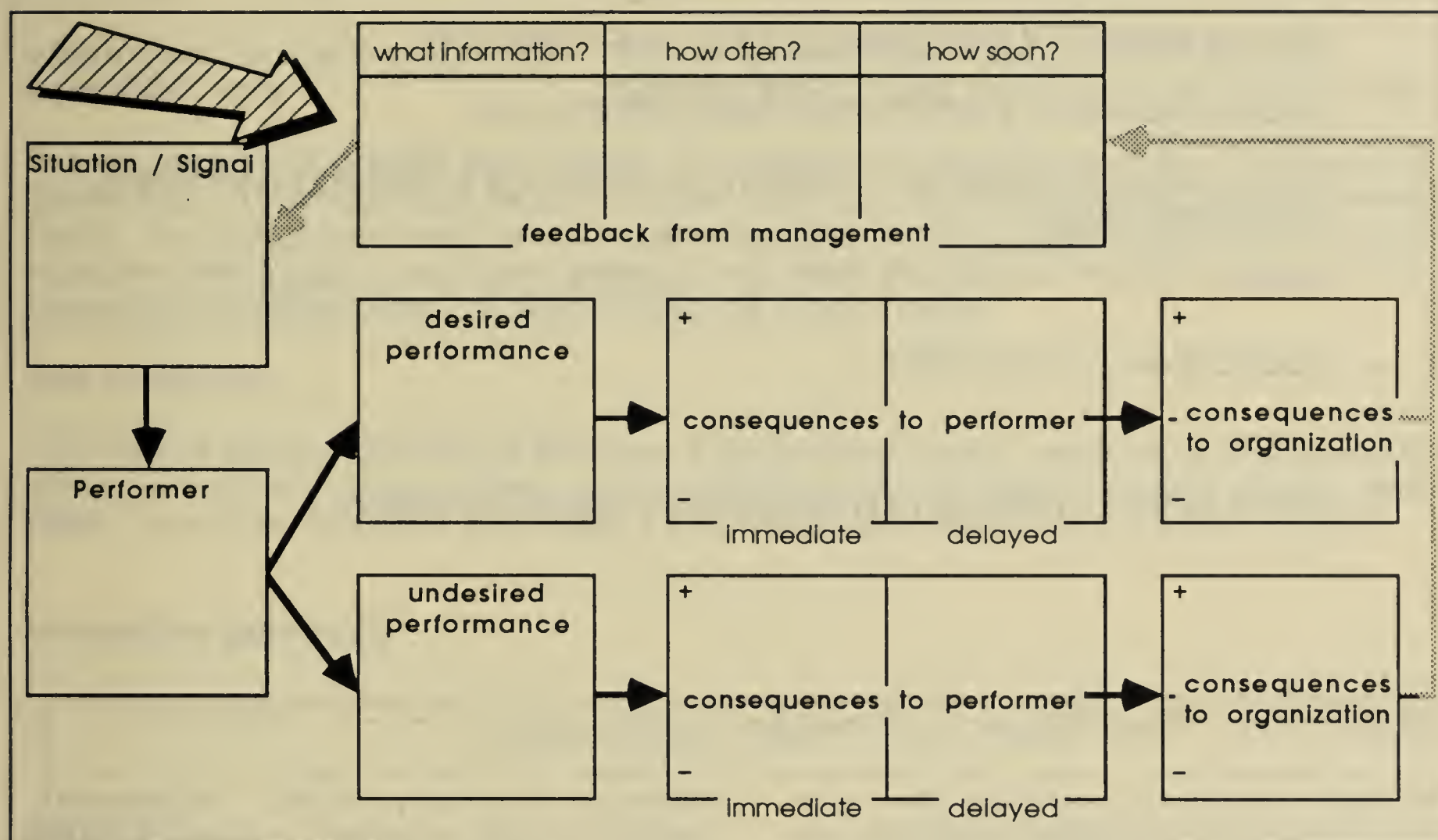
considerations for incidental feedback

1. a few minutes preparation
2. a convenient time and place
3. get right to the point

4. ask for a response
5. arrive at a solution
6. close with support

7. document?

(elapsed time: anywhere from 1 to 20 minutes)

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considerations for performance review

- more extensive preparation — written notes

- schedule with employee — allow preparation

- suggested agenda

  discuss aspects of performance done better than expected

  discuss aspects of performance that are acceptable

  discuss aspects of performance that must improve

  discuss with employee why deficient performance is occuring and how it will be improved

  end w. a positive note

- modifications to standards?

- written plans for change or improvement? (documentation)

Where Do I Find Time to Provide Feedback?

The simple answer is — you make time. If we were talking about specialized equipment, you would be aware of preventative maintenance: routine checks, calibration, and adjustments that maintain the performance of the equipment and prevent costly breakdowns. If someone asked you why you create "down time" to perform the maintenance, you would sagely reply, "Spend a little time now, save a lot of time later."

The same thing applies here. We are not talking about an administrative process to fill personnel files. We are talking about what supervisors get paid for — to do the necessary things to improve the productivity of their employees and increase the return on the organization's investment in human resources.

So you make time. *Performance reviews* might occur monthly, maybe once every three months. But they should take place on a regular basis as a top-priority activity. *Incidental feedback* occurs whenever necessary. To continue our equipment analogy, if you notice a problem with machinery, you don't say to yourself, "I'll have to take care of that during the next maintenance check." No, you'll take care of it right away. The same thing goes for human performance. If you notice a problem or positive performance, do the maintenance operation right away — provide feedback to the employee.

One final note: if you set about to do your equipment maintenance, you don't simply jump in with a grease gun and a socket wrench. You have an itemized list of things to check and actions to perform. In Unit Two, we discussed setting performance standards, and in this unit, we discussed observing and documenting performance. When these procedures regularly take place, you will have your "maintenance list" of items to discuss with the employee.

flights of feedback

In this exercise, you will conduct a short "incidental feedback session" with the person sitting next to you. He or she will do the same with you. Read over the facts of the situation and the example that is given. Give some thought to what you think should be said, then talk to the "employee." (Between the two of you, sitting side-by-side at your table, the person on the left will go first.)

---

the facts ...

employee: recreation specialist   **time of observation:** about 10 minutes ago
supervisor: you   **general topic:** local community recreation plan

The recreation specialist has written a summer recreation plan for the town of Castleford. You have just read the draft, and you consider it deficient in several areas: the goals were vague and unmeasurable, no implementing activities were included, the budget estimates were unrealistic in the face of recent cuts, and the projected timelines were so broad as to be meaningless.

one approach ...

"Dammit, it seems hopeless to think you'll do anything right. Just look at this plan you wrote — it stinks! More of the type of mistakes you've been making all the time lately. Now take this draft and revise it into the proper format and content, okay?"

try another approach

---

the facts ...

employee: recreation specialist   **time of observation:** about 10 minutes ago
supervisor: you   **general topic:** local community recreation plan

The recreation specialist has written a summer recreation plan for the town of Grangeville. You have just read the draft, and you find it exceptional — a welcome change from recent plans by this employee. It contains all the necessary elements, concisely laid out — specific, measurable goals; relevant activities; an exact budget estimate, including alternatives, and specific, realistic timelines. The writing is entirely correct — in fact, it's a pleasure to read.

one approach ...

"Hey, nice job!"

try another approach

Evaluating Performance

- rating performance
- alternatives
- common rating errors
- preparing for the appraisal interview
- conducting trhe appraisal interview
- review of the appraisal
- employee rights to respond or rebut

Unit Four

STANDARD

Performance of the duties and responsibilities meets, but does not exceed, the levels established in the performance standards. Performance is consistent with what is routinely expected of the employee in the position.

ABOVE STANDARD

Performance of the duties and responsibilities exceeds the performance standards established for the position, but cannot be considered "outstanding." Performance at this level definitely contributes to the achievement of the agency's and unit's mission, goals, and objectives.

OUTSTANDING

Performance of the duties and responsibilities exceeds "standard" performance by an exceptional degree and is clearly superior to "above standard" performance. This high level of performance is consistent throughout the appraisal period and contributes extensively to the achievement of the agency's and unit's mission, goals, and objectives. This rating must be supported in writing by objective information.

NEEDS IMPROVEMENT

Performance of the duties and responsibilities falls below established standards (i.e., what is routinely expected of the employee in the position) but is not totally unacceptable.. The need is evident for the employee to improve performance in one or more aspects of the duty. Performance fails to contribute to or may negatively affect achievement of the agency's or unit's mission, goals, and objectives.

UNACCEPTABLE

Performance of the duties and responsibilities is totally unsatisfactory and significantly fails to meet the standard requirements of the position. Extensive improvement is needed. Performance fails to contribute to, hinders, or obstructs the achievement of the agency's or unit's mission, goals, and objectives. This rating must be supported in writing by objective information.

The meaning of "standard"

All other ratings are in relationship to "standard" on individual requirements

performance ratings in the appraisal process
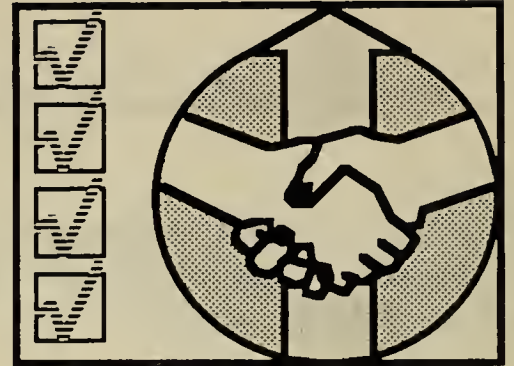
When should you rate performance?

- traditional process

- alternatives

supervisor "draft"	employee "draft"
both "draft"	no ratings until interview

Procedure for rating

- gather necessary information

- compare performance information to standards

- draft ratings and comments

  policy requirements   *preferable practice*

Common rating errors — and how to prevent them

- central tendency

  no information

- leniency

  not reality

- halo effect

  one area influences another.

- contrast and similarity   *(style)*

- recency effect

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appraisal interview model

PREPARE
Schedule
Make notes
Set the stage

INITIATE
Get the employee talking
Ask open-ended questions
Listen

FOCUS
Get specific information
Positive issues first
Address problem areas

PROBE
Reflection
Restatement
Listen some more

APPRAISE
Discuss ratings
Present supporting information
Allow employee response

PLAN
Mutual, specific goals
Routine standards
Changes and additions

CLOSE
Propose follow-up
Summarize major points
Allow closing comments
Express support
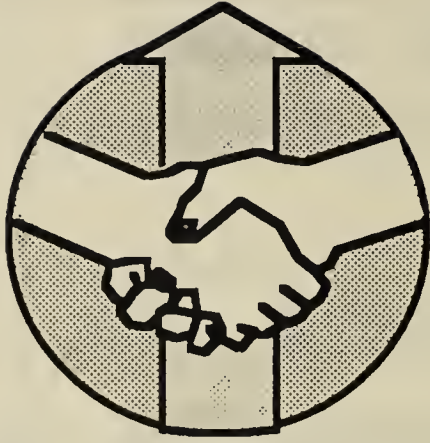
performance appraisal interview

When dealing with performance, a supervisor should be a change agent, not a scorekeeper. The method of achieving change is coaching — not threatening, pleading, cajoling, enticing, browbeating, or any other of the ineffective supervisory techniques. The techniques of evaluating presume to set lines of responsibility:

- *the supervisor is responsible for pointing out performance problems and providing assistance, within limits, to help solve those problems.*

- *the employee is responsible for his or her own behavior and is ultimately the one who must correct any problems.*

Considerations for the success of the appraisal interview

- maintain the focus

- a problem-solving, not fault-finding process

- a mutual exercise

Scheduling

- do it well in advance

- inform the employee

- treat as top priority

Set the Stage for the Interview

Naturally, the performance appraisal interview calls for the strictest privacy and confidentiality. Choose an area that will be free from interruption. In order to give the interview your undivided attention, you should clear the work area of any distractions, such as unrelated work papers, books, magazines, and photos of the spouse and kids. Use neutral furnishings, such as a work table, rather than a desk, which carries too much "authority." Set up an area where you can work side-by-side, rather than having a barrier between yourself and the employee.

OPENING	• state the purpose of the interview • strive for comfortable, informal atmosphere • stress the need for a mutual discussion
INITIATE	• get the employee talking • techniques • <u>listen</u>

FOCUS THE INTERVIEW	• probe for specifics
	   – techniques (see "Communication Techniques") pp. 57 – 60
	   – keep listening
	• attend to items not on your agenda
	   – techniques (see "Communication Techniques")
	   – notes
	• focus on positive issue first
	• address problem areas
	   – "feelings" first
	   – detachment

GIVE YOUR FEEDBACK AND EVALUATION	• shift in emphasis • discuss your ratings of performance • present supporting information • allow employee to respond

SET MUTUAL, SPECIFIC GOALS	• change in orientation of the interview
	• specific types of goals and standards
	   – routine
	   – standards from management plan
	   – standards from assignment
	   – problem-solving activities

CLOSE THE INTERVIEW	• agree on follow-up • summarize major points • allow additional comments • express confidence and support • conclusion

COMMUNICATION
TECHNIQUES FOR INTERVIEWING

Interviewing is an art that involves more than simply sitting down and talking with someone, although that impression is desired. There are several communication techniques that can be intentionally used to direct an interview and increase the chances that the discussion will be open and productive.

Restrictive Questions

These are the "closed" questions that usually elicit a simple "yes" or "no" reponse. As such, they are not very useful in getting people to open up, since they don't seem to be asking for much information.

Examples: "Do you feel your performance is satisfactory?"
"Is it true that you completed the requisitions before deadline?"
"Don't you feel that drawing up recreation plans is one of your most important duties?"

Another form of restrictive question can be answered with a short bit of information; e.g., "How long have you been employed in your present position?" Restrictive questions have a role in the interview, but it is a limited one. Generally, you will rely on several of the following techniques.

Open-Ended Questions

These questions directly ask the employee to give explicit information. If stated correctly, they do not imply any threats or coercion.

Examples: "How would you describe your performance over the past month?"
"How did you manage to get the requisitions in before deadline?"
"What do you consider to be your most important job duty?"

Obviously, such questions require more than a simple "yes" or "no" response. If the employee provides little information, you can probe for more with further open questions or through other techniques.

Open-Ended Problems

In this variation, the supervisor poses a real or hypothetical problem and asks the employee how to handle it.

Example: "I've been thinking about reorganizing the file system so all current data are in one location. How do you think we should do it?"

This technique shows respect for the employee's opinion and may be very useful in getting him or her to volunteer information. It can also be used to provoke insight into problem areas of the employee's performance.

Silence

Simply keeping quiet when the employee stops talking implies that you want him or her to continue. This can be useful when the employee offers little in response to an open-ended question and seems to be holding back, or when an employee overstates a point. Silence offers a brief moment for reflection and restatement or expansion.

Example: Employee: "I just hate doing those reports every month!"
Supervisor: (silence)
Employee: "Well, maybe hate isn't the right word. It's just that the information is spread all over the place. It takes a day just to gather all the facts for the report."

Silence almost never offends and is nonjudgmental; an employee may be relieved that you don't criticize an emotional statement. However, if used too often, it may give the mistaken impression that you aren't listening or don't care. It also can put a lot of unwanted pressure on the employee. Use it wisely.

Imperative

This is a naturally occurring request for more information.

Examples: "You mentioned a problem in gathering information for the monthly report. Tell me about that."
"You have consistently completed requisitions before deadline. Tell me how you did that."

The key to using imperative is to keep it from sounding like an order or command. It should simply express your desire for more information.

Choice Question

This technique falls somewhere between the restrictive question and the open-ended question. In it, the supervisor provides options from which the employee can select.

Example: "Concerning the problem of gathering information for the monthly report, do you think we should reorganize the files or change the format of the report?"

The choice question helps prompt a response when an open-ended question fails to register. You can also use the choice question to restrict options to those that you consider realistic or desirable. However, it might have the unwanted effect of insulating you from some useful ideas.

Restatement and Reflection

This is the repetition or rephrasing in your own words of what the employee expresses. It requires careful listening and selection; you must be accurate about what the employee is saying, and you have to choose the most important idea or feeling to further the discussion.

Example: Employee: "I guess the worst part of my job is doing the monthly report."
Supervisor: "You really dislike doing that?"
Employee: "I sure do — it takes so much time. I mean, the information is spread all over the place, it's in so many different forms, and I wonder if anybody ever reads the reports anyway."
Supervisor: "You find it hard to gather the information?"

Reflection and restatement can be used to defuse an emotional situation and to forestall confrontation. It shows that you are listening and helps to clarify your understanding of the employee's situation. It also enables you to respond without either rejecting or accepting what the employee is saying. By careful selection of the phrases or ideas you restate, you can keep the discussion on track.

Nonverbal Communication

As much as 70% of your communication remains outside the spoken word. Voice pitch, volume, facial expressions, and other behaviors can work either for you or against you in conducting a productive interview. The problem is that we are often unaware of how other people perceive our posture, gestures, inflections, and diction.

This is not to say that you should become self-conscious to the point of paranoia about how you look to other people. Rather, make a conscious effort to be open and straightforward in communication — for the most part, the nonverbal aspects will then confirm that intention. Some of the most important elements are listed:

Eye contact   Direct eye contact is important. You need not stare, but your eyes should be directed at the employee's eyes about 75% of the time, alternating with other, relevant items (notes, files, etc.).

Posture   Your posture conveys your interest and attention. Slouching, turning away from the employee, and crossing your arms each will have the effect of blocking communication.

Gestures   Fists, pointing fingers, shrugs, and downward palms impede communication. Open hands, broad open arms, and upward palms help communication.

Voice   The tone and inflection of your voice will often belie emotions such as anger or dismay, even if the words say otherwise. Strive for an even, controlled, open delivery.

An effective supervisor makes use of all these communication techniques in the performance appraisal interview. The choice of what to use and when comes through practice and sound judgement.

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additional interviewing techniques

These are four techniques that can help to improve communication. Used conscientiously, and not as manipulative tools, they can help facilitate a productive interview.

You-We Technique

A simple process in which the supervisor uses "you" to deliver a compliment and "we" to phrase a criticism.

> "You have really improved the communication with community agencies."
> "We have a problem in responding responding to requests for information."

Second-Hand Compliment

The supervisor passes on praise received from a third party about the performance of the employee. The second-hand compliment is usually more valuable than the direct one.

> "Pat Echman was very pleased with the plans you proposed for his summer program."

Advice Request

Asking an employee's advice on a particular subject that he or she knows thoroughly or does well will often bring a favorable response.

> "You have done so well completing requisitions on time. How might we use your methods to reduce turnaround time on issuing operators' permits?"

Turnabout

The supervisor gets the employee to analyze his or her reactions in a certain situation and then draws a parallel to the employee's own behavior.

Supervisor: "Consider the time I criticized your report without reading it closely."

Employee: "I was pretty upset — you didn't seem to listen."

Supervisor: "I know, and it took a while to straighten things out."

Employee: "Yeah."

Supervisor: "Is there a similar interaction happening between you and Ellen when you discuss safety design?"

Employee: "I guess I never thought too much about how I've acted towards her work. I see your point."

Complete the Written Record

Performance appraisal leads to formal documentation of performance, so the written record is important. After the interview, you need to be concerned with three areas of documentation:

The completed appraisal should be signed, dated, copied, distributed, and filed. That is, you and the employee sign the ratings sheet and perhaps any attached comments pages. If the appraisal is reviewed by your supervisor, he or she should also sign it.

The employee receives a copy of the appraisal in its entirety, and the original goes to the employee's central personnel file. You may also decide to keep a copy yourself, provided you do not have a union contract prohibiting you from doing so. A note of caution: If you hold such documents, you must take reasonable measures to ensure their security and confidentiality.

Informal memoranda, such as a performance improvement plan, follow-up schedule, or other document, should be written, typed, and given to the employee. Retain a copy for your files.

The new appraisal plan for the upcoming period should be finalized and a copy given to the employee.

Review of the Appraisal

A third party step   *was policy adhered to?*

- purpose   • timing

What the reviewer may do
- point out policy errors

- discuss the appraisal with you

- attach written comments (must be made available to employee)

What the reviewer may *not* do
- change your ratings or written comments

- attach any comments to be kept from employee or the file

Evaluate Your Performance

(see review form on next page)

How Could I Have Done Better?

A Checklist for After the Interview

☐ Overall, did I listen more than talk? (Supervisor should talk 20% or less of the time.)

☐ Did I try to make the employee comfortable and the atmosphere open to communication?

☐ Was I straightforward in stating the purpose of the interview?

☐ Did I allow the employee to appraise his or her own performance before stating my own views?

☐ Did I listen to what the employee had to say without jumping to conclusions or preparing a response?

☐ Did I attempt to get specific information from the employee about his or her opinions and concerns?

☐ Did I present my ratings of the employee's performance in a nonthreatening manner?

☐ Did I provide objective information and observations to support my ratings of the employee's performance?

☐ Did I encourage the employee to respond openly to my feedback and ratings?

☐ In planning for the future, did I incorporate the employee's suggestions regarding activities and standards?

☐ Did I offer my suggestions as equal alternatives, remaining open to amendment?

☐ Did I close the interview on a positive note, with support for the employee and a clear summary of the discussion?

employee rebuttals and grievances

Rebuttal: "written response"

- general timeline within 10 days of receiving appraisal

- must be attached to appraisal and included in formal file

Grievance of procedural errors

- failure to inform employee of major duties/responsibilities

- failure to justify in writing "outstanding" or "unacceptable" ratings

- failure to allow employee to review ratings and comments

- failure to inform employee of right to attach written rebuttal   *ch time state to working days*

- failure to provide employee with copy of written appraisal and any reviewer's comments

Outcome of grievance

No right to grieve

- any content of appraisal

- during probationary period of employment

further reading on performance appraisal

Managing Performance is an area of intense concern in the field of management and supervision. Many authors have come up with many "systems," but most of them say the same thing: **communicate**. *Here are some valuable books and articles on the subject..*

Benfield, Clifford J. "Problem Performers: The Third-Party Solution" *Personnel Journal,* August 1985, p. 96

Bunning, Richard L. "Rewarding a Job Well Done." *Personnel Administrator,* January 1989, p. 60.

Cocheu, Ted. "Performance Appraisal: A Case in Points." *Personnel Journal,* September 1986, p. 48.

Day, Dave "Performance Management Year-Round." *Personnel,* August 1989, p. 43

Fornies, Ferdinand F. *Coaching for Improved Work Performance .* Van Nostrand Reinhold Co., 1978

Fornies, Ferdinand F. *Performance Appraisal — Design Manual.* Ferdinand F. Fornies & Assoc., 1983

Goodale, J.G. *The Fine Art of Interviewing.* (Chapter 3: "The Performance Appraisal Interview"), Prentice-Hall, 1982.

Mager, R.F. and Pipe, P. *Analyzing Performance Problems.* Fearmon Pitman, 1970.

Morrisey, G.L. *Management by Objectives and Results in the Public Sector.* Addison-Wesley, 1976.

Morrisey, G.L. *Performance Appraisals In the Public Sector.* Addison-Wesley, 1976.

Oliver, John E. "Performance Appraisals that Fit." *Personnel Journal,* June 1985, p. 66.

Schneier, C.E., Geis, A. & Wert, J.A. "Performance Appraisals: No Appointment Needed." *Personnel Journal,* November 1987, p. 80.

Steinmetz, L.L. *Managing the Marginal and Unsatisfactory Performer .* Addison-Wesley, 1969.

Supervisor's Guide to Performance Appraisal. State Personnel Division, Department of Administration, 1982.

The Rating Process

traditional

supervisor has "concrete" ratings completed before interview

alternatives

• supervisor compiles "preliminary" ratings before interview — subject to change

• employee compiles "preliminary" ratings before interview — subject to change

• both compile "preliminary" ratings before interview — subject to change

• no ratings done before interview; ratings assigned during interview discussion — mutual agreement

Last Name	First Name	Middle	Class Title
Eager	Ellen (Elmer)	E.	Recreation Specialist

APPRAISAL TYPE: ☒ Periodic ☐ Probationary ☐ Other ___

PERFORMANCE APPRAISAL PLAN   *Dates: from* ___ *to* ___

ACCOMPLISHMENTS

Duties/Responsibilities/Goals	Performance Standards/Objectives	Outstanding	Above Standard	Standard	Needs Improvement	Unacceptable	Comments
1. Responds to community requests for information or services by providing or coordinating provision of services and information within scope of agency policy and procedure.	a. Responds by letter within 3 working days of each request, stating timeline for full response.						
	b. Provide requested information within 10 days of receiving request.						
	c. Provides requested service, if available, within 20 working days of receiving request (or by deadline negotiated with supervisor).						
	d. Quality of responses to be determined by community satisfaction. No more than three valid complaints within appraisal period about proficiency or nature of response.						
2. Communicates effectively with coworkers, community and state agencies, and members of the general public.	a. Provides courteous and thorough communication with community and state agencies over telephone; no more than two occurrences of discourteous treatment during appraisal period, based on random observation by supervisor.						
	b. Obtains complete information for follow-up action; no more than five repeat calls for clarification or more information during appraisal period, based on telephone log.						

PERFORMANCE EVALUATION FORM

Employee: Ellen (Elmer) Eager	**REASON FOR REPORT:**
Position: Recreation Specialist	☒ Annual
Department: Interior / Parks & Recreation	☐ Completion of Probation
Supervisor: Lee Learner, Region III Supervisor	☐ Other _____

PERFORMANCE FACTORS AND RATING		COMMENTS

1	QUALITY OF WORK	RATING
Factors: Thoroughness; neatness; accuracy; work skills; organization; work carried through to completion.		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

2	QUANTITY OF WORK	RATING
Factors: Volume of work produced; extent to which deadlines are met; completion of delegated tasks		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

3	JOB KNOWLEDGE	RATING
Factors: awareness and understanding of duties and responsibilities; continuing education, etc.		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

4	WORK HABITS	RATING
Factors: Observance of working hours; compliance with work instructions; safety; dependabilty; dress and personal hygiene		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

5	ATTITUDES	RATING
Factors: Willingness to accept criticism; enthusiasm for work; loyalty; efforts to improve; contributes to good morale.		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

6	DEALING WITH OTHERS	RATING
Factors: Harmonious relations; merits confidence from public and others; cooperative; courteous with co-workers and public		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

7	JUDGEMENT AND INITIATIVE	RATING
Factors: Independent worker; decision-making; responsibility; dealing with unusual circumstances; new ideas generated		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐

8	COMMUNICATION	RATING
Factors: Expression of thoughts and ideas verbally and in writing; accuracy; grammar; appropriate body language; thorough		Unacceptable ☐ Needs Improvement ☐ Average ☐ Above Average ☐ Outstanding ☐